



OFFICE OF HOMELAND SECURITY

September 16, 2008

Bill O'Callahan, District Coordinator Supervisor
Sheriff's Office of Emergency Services
County of San Mateo
400 County Center
Redwood City, CA 94063

SSS County Center

Monitoring Report #M08-081

Dear Mr. O'Callahan:

Your FY05-0015, FY06-0071, FY07-0008 Grant Programs have been selected for review as part of the Office of Homeland Security (OHS) Grants Management monitoring process. The purpose of the monitoring process is to provide an independent assessment of the subgrantee's ability to comply with the application process, provisions of the grant agreement, program guidelines and other appropriate state and federal regulations as required. Generally, the monitoring is used as a tool to assist the subgrantee in complying with these requirements and can have an affect on your ability to receive future funding and/or close out existing grants.

A monitoring visit to review documentation related to these grants has been set for **October 28-30, 2008**. As the Program Monitor assigned to this grant, I will arrive at approximately **8:00 a.m. on October 28, 2008**. Upon receipt of this letter, please contact me at 916-322-1901 to advise if source documentation will be at more than one location and to address any questions or concerns you may have regarding the monitoring scheduled for these grants.

GRANT NUMBER	PROGRAM NAME	PERIOD MONITORED
2005-0015 #081-00000	FY05 Homeland Security Grant Program (HSGP)	10/01/04 - 10/07/08
2006-0071 #081-00000	FY06 Homeland Security Grant Program (HSGP)	07/01/06 - 06/30/08
2007-0008 #081-00000	FY07 Homeland Security Grant Program (HSGP)	07/01/06 - 06/30/08

Three days have been scheduled for the monitoring visit, which will cover both programmatic and fiscal operations. Please arrange for the individual(s) knowledgeable of, responsible for preparing reimbursement requests, modifications, and overseeing program activities to be available during the entire monitoring visit.

As part of the monitoring process, you will be provided 30 calendar days from the conclusion of the monitoring visit to respond and provide any additional supporting documentation that was not available at the time of the monitoring visit. At the conclusion of the 30 days, the monitoring narrative report will be finalized and if applicable, you will be required to submit a

Corrective Action Plan to the monitor. This plan must address each of the findings noted in the monitoring narrative report and be submitted to the OHS Monitoring and Audits Unit, no later than 120 days (four months) from the date of the monitoring visit.

Attached, please find a preliminary listing of the books and records that will be reviewed. Additionally, within a month prior to the monitoring visit, you will be provided with a comprehensive, step-by-step field document, which will be used during the monitoring visit. This document will further assist you in identifying and organizing programmatic and fiscal source documents necessary for the monitoring visit.

We look forward to working with you and appreciate your participation, cooperation and assistance with the monitoring process.

Sincerely,



Mohammad Mokarram
Program Monitor
Monitoring & Audits Unit
Governor's Office of Homeland Security
State Capitol
Sacramento, CA 95814
(916) 322-1901 (office)
(916) 324-5902 (fax)

Attachment

cc: Subgrantee files, Grants Management Unit
Monitoring and Audits Unit – File
Monitoring and Audits Unit – Chron File

OHS Monitoring and Audits Unit

DOCUMENT REQUEST--The following documents must be provided at the beginning of the monitoring visit.

Financial Related

General Financial

1. Financial statements (Balance Sheet, Income Statement, Changes in Fund Balance, Cash Flow Statement)
2. Chart of Accounts
3. General Ledger
4. Reconciliation of subsidiary ledgers to the general ledger
5. List of authorized check signers
6. Payroll register

Grant Specific Financial (monitoring period only)

1. Application Cover Sheet
2. Modifications, extension approvals
3. Original timesheets: functional timesheets/time logs/cards/attendance reports along with the applicable time study allocation plan
4. Vouchers supporting all claimed operating expenses, including the following: purchase orders; receiving reports and vendor invoices
5. Canceled checks, check stubs, and/or cash receipts
6. Contracts: Services/Consultant contracts and lease agreements, sole source or open bid process documentation, and rate of pay
7. If applicable, Project Income (PI): all source documents describing the type of PI earned, when it was earned, how much was earned and how it was expended
8. Equipment Inventory list for grant funded purchases
9. Vouchers supporting all claimed equipment expenses, including the following: purchase orders; receiving reports and vendor invoices

Program Related Source Documentation

1. Performance Reports: Original source documentation to support operational area/urban areas data reported
2. MOUs: Documentation to support activities
3. Contracts: signed written contract(s)
4. Documentation to support services provided by contractor including: activities performed and performance outcome achieved
5. BSIR Reporting: Review of timely submission of report
6. Exercise: Proof of AAR(s) submitted: Can be copy of first page or transmittal sheet
7. Training: Documentation as it relates to the number of trainings conducted and the number of personnel/individuals trained
8. Equipment: Inventory log sheet for grant-funded equipment purchases

Other

1. Organizational Chart
2. Job descriptions for grant funded positions: As it relates to overtime/backfill charges
3. A copy of the Governing Board Resolution/Approval Authority Body
4. Training: Documentation as it relates to the number of trainings conducted, and the number of personnel/individuals trained

Please be advised the monitor may request additional documentation as necessary at the time of the visit.



California Emergency Management Agency

February 26, 2009

Bill O'Callahan, Supervisor
San Mateo County Office of Emergency Services
400 County Center
Redwood City, CA 94063

Subject: Corrective Action Plan for Monitoring Narrative Report #M08-039

Dear Mr. O'Callahan:

As you are aware, the California Emergency Management Agency (CalEMA) is responsible for monitoring subgrantees to ensure that all administrative, programmatic and financial responsibilities are fulfilled and in accordance with the individual grant guides and applicable rules and regulations.

We have completed our review of your submitted corrective action plan for fiscal year FY05-0015, FY06-0071, FY07-0008 grant programs. We have concluded that you have implemented appropriate corrective action as prescribed in the Monitoring Narrative Report #M08-039. CalEMA is particularly interested in your Operational Area due to the complexity of the issues found during review, the size and responsibility of the Operational Area, and the large amount of grant funds awarded. No further action on your part is required; however, CalEMA reserves the right to conduct an inspection of equipment funded with CalEMA grants.

Sincerely,

A handwritten signature in black ink, appearing to read "Brendan Murphy", written over a horizontal line.

Brendan Murphy
Deputy Director

cc: Maybel Garing, Program Representative
Monitoring and Audits Unit, Chron File
Grants Management Unit, Chron File



COUNTY OF SAN MATEO
Office of the Sheriff
Area Office of Emergency Services
and Homeland Security

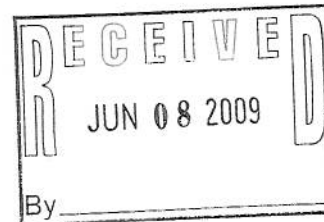
GREG MUNKS
SHERIFF

CARLOS G. BOLANOS
UNDERSHERIFF

400 COUNTY CENTER • REDWOOD CITY • CALIFORNIA 94063-1662 TELEPHONE (650) 363-4790 www.smcsheriff.com

ADDRESS ALL COMMUNICATIONS TO THE SHERIFF

February 16, 2009



Governor's Office of Homeland Security
Grants Administrative Section
Monitoring and Audits Unit
State Capitol
Sacramento, CA 95814
Attn: Mohammad Mokarram, Program Monitor

RE: Corrective Action Plan- County of San Mateo Operational Area
Monitoring Report # M08-039

Attached please find San Mateo County Operational Area's Corrective Action plan for the monitoring review conducted by your office on the following grants: FY 05-0015, FY 06-0071, and FY 07-0008. If you have any questions or need any additional information, please call the San Mateo County Office of Emergency Services at 650-363-4790

Sincerely,

Bill O'Callahan

Supervising District Coordinator

A JOINT POWERS REPRESENTING:

TOWN OF ATHERTON • CITY OF BELMONT • CITY OF BRISBANE • CITY OF BURLINGAME • CITY OF COLMA • CITY OF DALY CITY • CITY OF EAST PALO ALTO
CITY OF FOSTER CITY • CITY OF HALF MOON BAY • TOWN OF HILLSBOROUGH • CITY OF MENLO PARK • CITY OF MILLBRAE • CITY OF PACIFICA
TOWN OF PORTOLA VALLEY • CITY OF REDWOOD CITY • CITY OF SAN BRUNO • CITY OF SAN CARLOS • CITY OF SAN MATEO • COUNTY OF SAN MATEO
CITY OF SOUTH SAN FRANCISCO • TOWN OF WOODSIDE

County of San Mateo Operational Area
Monitoring Report # M08-039

NOT IN COMPLIANCE:

SECTION E: Fiscal Procurement- Finding #1-

County of San Mateo Procurement Policy does not require review of the federal "debarment or suspended" list prior to entering into an agreement involving federal funds; the sub grantee failed to ensure vendor eligibility prior to awarding a contract.

CORRECTIVE ACTION:

County Purchasing:

The Office of Emergency Services is working with County Purchasing to add an addendum to the County Procurement Policy that will include the federal standard ((Debarment, Suspension, and Other Responsibility Matters) (21 CFR Part 1404 Executive Order 12549) and to ensure that if a vendor falls into this category they are not awarded a purchase order for services or goods with the County when Federal grant funds are being used. We met with Purchasing. Purchasing will effective immediately, check with the Excluded Parties List (EPLS) prior to each grant purchase. The documentation will be attached to the purchase request form (Green Sheet) and be part of the purchasing files.

Agreements with Contractors: - Sheriff's Contract Administrator

The Sheriff's Office has now added a standard clause to all contractor agreements that are grant funded:

1. DEBARMENT AND SUSPENSION As required by Executive Order 12549, Debarment and Suspension and implemented at 21 CFR Part 1404, Contractor hereby acknowledges that prior to execution of this Agreement, County shall require Contractor to certify that it:

- A. Is not presently debarred, suspended, proposed for debarment, declared ineligible, sentenced to a denial of Federal benefits by a State or Federal court, or voluntarily excluded from the covered transactions by any Federal department or agency; or
- B. Has not within a three-year period preceding this contract been convicted of or and a civil judgment rendered against them for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain or performing a public transaction or contract under a public transaction violation of Federal or State antitrust statutes or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, or receiving stolen property; or
- C. Is not presently indicted for or otherwise criminally or civilly charged by a government entity terminated for cause or default.